

Section 1: Process Metrics

The following table represents the best estimates of focus group members for the following process procurement management metrics for their agencies.

Agency	Agency1	Agency2	Agency3	Agency4	Agency5	Agency6	Agency7	Agency8
Number of PM FTEs (including supervisors)		32.5		50			13 (288[g1])	2.5
When do you record encumbrances (Mark one)	Annually	Annually	Annually			Annually	Annually	Don't
Do you use the periodic or perpetual inventory control method for consumable inventories? (Mark one)	Periodic	Periodic	Periodic	Periodic		Motor Pool vehicle parts, Capitol Facilities Periodic		Perpetual
Approx. number per YEAR of:								
# of separate procurements	2400	@31000		150,000		925	10,000 (888,000[g2])	1930
# of low dollar value procurements	2306	14698		125,000		1000	6,000	1900
# of pre-qualified suppliers used	22	@1200 GA contract vendors	0	5000		There are approximately 1200 vendors who are pre-qualified on statewide master contracts for services for PCA. Engineering and Architectural Services has 2,100 pre-qualified vendors it works with.		0
# of master service contracts used	17			400		405	100	12
# of pcard purchases	103	15,000+	0	100,000		9000/year	3,613	925
# telephone/other quotes	285	?	0	300,000		120	7,000	12
# solicitation documents prepared	45	Cannot determin	15 RFPs	1,000		1166	100	15

Agency	Agency1	Agency2	Agency3	Agency4	Agency5	Agency6	Agency7	Agency8
		e at this time						
# bids received	135	?		10,000		4200	1,000	50
# protests	0	2	0-1	50		34	0	0
# protests which cause result to be changed	0	0	0	10		2	0	0
# awards made	40	?		1,000		1166	98	15
# purchase contracts written	37	2	250	500		7200	150	15
# of separate deliveries (receiving events)	2400	Cannot determine at this time	0	100,000		8300	8200	3000
# of receiving events with unacceptable deliverables	72	@2%	0	2,000		565	15	100
# purchasing amendments	0	?	370	5,000		600	50	12
# emergency purchases	0	3	0	2,000		20	65	0
Approximate Hours per Year spent								
Establishing Master Services Contracts for Goods and Services	0	0	40	5,000		35,000	0	100
Pre-qualifying vendors	0	0		1,000		2,000	0	0
Supporting OWMBE goals	50	@800		500		400	25	0
Preparing solicitations	20	@25000		5,000		6,000	11,000	200
Evaluating solicitation responses	25	@4000	125	5,000		12,000	2,500	12
Preparing acquisition contracts	10	0	2535	5,000		2,000	6,000	0

¹ Note: One large division did not provide a breakdown of hours spent per year. Based on the size of their operation and number of contracts, one could estimate that it is approximately equal to the hours listed for the rest of Agency6.

Agency	Agency1	Agency2	Agency3	Agency4	Agency5	Agency6	Agency7	Agency8
Approving acquisition contracts	30	0	250	2,000		500	200	0
Determining account coding for acquisitions	0	@3000		500		200	50	10
Determining funding sources for acquisitions	0	0		1,000		200	50	0
Recording encumbrances	0	Cannot determine at this time		1,000		1150	Unknown	0
Recording receipt of goods and services	400	@5166		2,000		2,200	250	100
Return and follow-up on unacceptable acquisitions	80	750		3,000		700	10	100
Communicating with suppliers and potential suppliers	160	@8000	125	1,000		8,000	3,000	100
Interpreting acquisition contracts for agency staff	63	@1500	125	2,000		400	1600	15
Interpreting purchasing rules for agency staff	100	@1500	125	2,000		200	1600	15

Section 2: Manual Logs and Files

The following table indicates the manual transaction logs and/or paper copy files typically maintained to support Procurement Management processing, review, and approval. These abbreviations are used to indicate who is maintaining the Logs/Files:

PO = Purchasing Office
CO = Contracts Office

PM =Program managers
AO = Accounting Office

E = Employees

Bold font indicates the paper file contains the Original document. An X in the last column indicates an agency system tracks the information.

Type of File/Log	Agency	Manual List	Excel-Type Spreadsheet	File Copies	Data is Captured in Agency System
Purchase requests	Agency1		Database	PO, AO	X
	Agency3			PO	X
	Agency4				
	Agency5				X
	Agency6		PO	PO	Some (PCA)
	Agency7			PO, CO, E	X
	Agency8		PO, AO		
Quotes	Agency1		Hard Copy	PO	
	Agency3	PO		PO	
	Agency4				
	Agency5			PO, E	X
	Agency6			PO	Some (PCA)
	Agency7	E		E, CO	X
	Agency8	PM	PO		
List of Preferred Suppliers	Agency1		Database	PO	X
	Agency3	PO			
	Agency4				
	Agency5			PO, E	X
	Agency6			PO	Some (PCA)
	Agency7				
	Agency8		PO		
MSAs/convenience contracts	Agency1		Internet		
	Agency3	CO		CO	

Type of File/Log	Agency	Manual List	Excel-Type Spreadsheet	File Copies	Data is Captured in Agency System
	Agency4				
	Agency5				
	Agency6		PO	PO	Some (PCA)
	Agency7			PO, CO	X
	Agency8		PO, AO		
Sole Source Justification	Agency1		Hard Copy	PO	
	Agency3	PO		PO	
	Agency4				
	Agency5			PO, CO, E	X
	Agency6			PO	
	Agency7			E, CO, PO	X
	Agency8		PO, AO		
Vendors to whom solicitation documents sent	Agency1		Hard Copy	PO	
	Agency3	PO		PO	
	Agency4				
	Agency5			PO, CO, E	X
	Agency6			PO	Some (PCA)
	Agency7			E	X
	Agency8		PO, AO		
Purchase approvals	Agency1		Database	PO, AO	X
	Agency3		PO	PO, AO	X
	Agency4				
	Agency5			PO, CO, E	X
	Agency6		PO	PO	
	Agency7			PO, CO, E	X
	Agency8		PO, AO		
Final purchasing documents (contracts and purchase orders)	Agency1		Database and Hard Copy	PO, AO	X
	Agency3			PO	X
	Agency4				
	Agency5			PO, CO, E	X
	Agency6			PO	

Type of File/Log	Agency	Manual List	Excel-Type Spreadsheet	File Copies	Data is Captured in Agency System
	Agency7			PO, CO, E	X
	Agency8		PO, AO		
Protest information	Agency1		Hard Copy	PO	
	Agency3			PO	
	Agency4				
	Agency5				
	Agency6		PO	PO	
	Agency7			PO, CO, E	
	Agency8		PO, CO		
Amendments, changes to purchasing documents	Agency1		Hard Copy and Database	PO	X
	Agency3			PO	X
	Agency4				
	Agency5			PO, CO, PM, AO	
	Agency6		PO	PO	
	Agency7			PO, CO, E	X
	Agency8		PO, AO		
Encumbrance coding	Agency1				
	Agency3			PO	X
	Agency4				
	Agency5				
	Agency6		PM, AO		
	Agency7				
	Agency8				
Orders by purchase	Agency1		Hard Copy and Database	PO, AO	X
	Agency3			PO	X
	Agency4				
	Agency5				
	Agency6			PO	
	Agency7			?	
	Agency8		PO, AO		
Packing Slips	Agency1			PO, AO	

Type of File/Log	Agency	Manual List	Excel-Type Spreadsheet	File Copies	Data is Captured in Agency System
	Agency3			AO	
	Agency4				
	Agency5				
	Agency6			PO	
	Agency7			E	X
	Agency8		AO, PO		
Deliverables	Agency1		Database	PO	X
	Agency3	O=warehouses		O=warehouses	
	Agency4				
	Agency5				
	Agency6			PO	
	Agency7			E	
	Agency8		PM		
Receiving approvals	Agency1		Database	PO, AO	X
	Agency3				X
	Agency4				
	Agency5				
	Agency6			PO	
	Agency7			CO, E	X
	Agency8		AO		
Payment approvals	Agency1		Database	PO, AO	X
	Agency3				X
	Agency4				
	Agency5				
	Agency6			PO	
	Agency7			AO, CO, E	X
	Agency8		AO, PO		
Payment coding	Agency1			AO	
	Agency3				X
	Agency4				
	Agency5				
	Agency6			PO	
	Agency7			CO, E	X

Type of File/Log	Agency	Manual List	Excel-Type Spreadsheet	File Copies	Data is Captured in Agency System
	Agency8		AO, PO		X
Payments by purchase	Agency1		Database	PO, AO	X
	Agency3				X
	Agency4				
	Agency5				
	Agency6			PO	
	Agency7			?	
	Agency8		AO, PO		X
Consumable inventory information	Agency1		Database	PO	X
	Agency3		O=warehouses	O=warehouses	X
	Agency4				
	Agency5				
	Agency6			PO	Some (Central Stores)
	Agency7				X
	Agency8	PO			X

Section 2: Process Variations

The process variations data has been tabulated with the following response numbers to indicate which agency highlighted which statements.

Response Number	Agency	Response Number	Agency	Response Number	Agency	Response Number	Agency
1	Agency1	3	Agency3	5	Agency5	7	Agency7
2	Agency2	4	Agency4	6	Agency6	8	Agency8

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
In General	Agency3 -Contracts for personal services and major contracts from RFPs such as legal services are done in HQ. Most client service procurement done in field, contracts at HQ.	<p><u>Organization</u></p> <ul style="list-style-type: none"> 138 The Procurement Management function is centralized for agency 234567 The Procurement Management function is decentralized Agency2 - Centralized at HQ for purchases \$10K+ Agency2- Purchases off established GA contracts and those less than \$3k are completed locally for institutions and at regional business centers for all field offices. Purchases above \$3k to \$10k not on contract are processed through regional business centers and Agency3 HQ Agency3 Contracts for personal services and major contracts from RFPs such as legal services are done in HQ. Most client service procurement done in field, contracts at HQ. Agency6 - Each program is responsible for their own purchasing, but all rely on state contracts. State Purchasing (PCA) creates master state contracts for all state agencies to use. Agency6 programs use these. Real Estate Services does lease and facility contracting for state agencies. Engineering and Architectural Services does architectural, design and construction contracting on behalf of state agencies. 	Agency8 - Legal handles large and complex procurements

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
		<p>Your Biggest Pain Areas for procurement management (please specify)</p> <ul style="list-style-type: none"> ▪ <u>Agency1 - Adherence to policy and procedures by staff and incorrect product specs provided by staff.</u> ▪ <u>Agency2 - Too many layers of approvals needed before release of purchase order to vendor.</u> ▪ <u>Agency3 - Not having ready access to all procurement information.</u> ▪ <u>Agency4 ?</u> ▪ <u>Agency6 - Not having automated information on usage / demand / requirements data</u> ▪ <u>Agency7 Software, Services, Maintenance</u> ▪ <u>Agency8 – Late purchase requests</u> 	
Establish MSAs/ Convenience Contracts	<p>Agency7 - We use MSAs offered by all agencies (i.e., DOP, GA, Agency5, PRT, DIS, STO, etc.) and Provider Applications (160,000)</p> <p>Agency3— Establish convenience contracts such as programming, polygraphs for use by agency</p>	<ul style="list-style-type: none"> ▪ 4 Only use GA issued MSA. ▪ 18 Have agency MSAs other agencies can use ▪ 13478 Use “convenience contracts” 	
Pre-Qualify Vendors	Agency2- Pre qualification occurs through outside agencies e.g. GA and OMWBE	<ul style="list-style-type: none"> ▪ 67 Use 2 step procurements for certain goods and services. (<i>Give examples: ??</i>) ▪ 47 Formally qualify vendors based on criteria. ▪ 467 Track pre-qualification against awards ▪ 148 Informally track previously qualified vendors for certain goods and services and proactively notify of them of opportunities 	Agency8 - We don't maintain a prequalification system. We do maintain a list of vendors known to provide certain goods and services
Procurement Request	Assumption that requester has already gotten approval to make this purchase prior to making the requisition. 236-48-003 WAC	<p><u>How do you receive the request:</u></p> <ul style="list-style-type: none"> ▪ 467 Informal via email or phone ▪ 134678 Paper written form ▪ 12567 Automated requisition through purchasing system ▪ 6 Agency6-On-line orders to central stores 	Agency8 - We use a paper requisition to document purchase approval with a signature, but we take fax copies from our regional offices.

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
	Agency3 – Paper form word or PDF	How do you meet request: <ul style="list-style-type: none"> 245678 Agency keeps a catalog of consumable inventory 245678 Requester checks supplies in central stores 145678 Requester requisitions all needed items and PO gets 	
Determine if item is available from inventory		<ul style="list-style-type: none"> 24678 User checks inventory 24678 User requisitions item and PO checks inventory 	
Opportunity/Risk Assessment	Could not find specific mention of this step in the procurement manual though it implies that risks are assessed.	<u>Who completes:</u> <ul style="list-style-type: none"> 1347 Requester 46 PO or CO <u>Process is:</u> <ul style="list-style-type: none"> 37 Mostly formal 1468 Mostly informal <u>Budget and funding source is:</u> <ul style="list-style-type: none"> 267 Verified by PO or CO at time of requisition 347 Detailed account coding is recorded at this time or on payment request? 124578 Requester verifies funding prior to requisitioning item 	Agency8 - Not done, except agency's largest contract, done by PM
Sole Source	<p>Assumption is that a sole source justification is prepared for each sole source procurement and maintained on-file at agency.</p> <p>Washington Purchasing Manual (WPM) Section 10.3 (WPM 10.3)</p>	<ul style="list-style-type: none"> 13457 Requisitioner completes sole source justification 12678 PO completes sole source justification <p>Agency1 –The PO and requestor do this together the majority of the time.</p>	Agency8 - PO knows market conditions and knows the sole source rules in the purchasing manual.
Emergency Purchases	<p>Assumption is that an emergency purchase for (A16-E) is prepared for each sole source procurement and maintained on-file at agency.</p> <p>Washington Purchasing Manual WPM 6.1.j</p>	<ul style="list-style-type: none"> 47 Requisitioner completes emergency purchase form 467 PO completes emergency purchase form 	

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
Direct Buy -- Low value (<\$3,100) purchase	WPM 6.1.e	<p><u>Who determines if it follows low-value process:</u></p> <ul style="list-style-type: none"> 4567 Requester 7 Approver 1278 PO or CO(7) <p>Are justifications documented or quotes solicited?</p>	
Request for Quote -- Medium value (>\$3,100 and <\$43,900) purchase	WPM 6.1.a	<p><u>Who determines if it follows medium-value process:</u></p> <ul style="list-style-type: none"> 457 Requester 7 Approver 24678 PO(1) or CO <p>How are quotes solicited and managed?</p>	
Competitive Sealed Bid – High value (>\$43,900) purchase	WPM 6.1.b Agency2-No sealed bids done at agency level. Processed through GA	<p><u>Who determines if it follows high-value process:</u></p> <ul style="list-style-type: none"> 57 Requester 7 Approver 1678 PO or 4CO <p>How are bids solicited and managed?</p>	
Develop Bid documents	WPM 6.1.b or WPM 6.1.a for quotes Agency3-Journal of Commerce, professional journals	<p><u>Who completes:</u></p> <ul style="list-style-type: none"> 7 Requester 278 PO or CO 14567 Both 27 Legal <p><u>Documents are prepared using:</u></p> <ul style="list-style-type: none"> 2345678 An example from the prior similar procurement 123467 Pre approved document templates 7 Document management system 	Agency8- Agency policy assigns responsibility to PO, except high dollar or complex purchases.
Solicit bids or quotes	WPM 6.1.b or WPM 6.1.a for quotes	<ul style="list-style-type: none"> 123456 Advertise in various media (please give examples) <p>Agency2-IT has used new journals to solicit occasionally</p> <p>6 Agency6- Daily Journal of Commerce, Websites</p> <ul style="list-style-type: none"> 148 Self-service solicitation/bidding process 14567 Advertise using GA WEBS <p>Agency1- We have used all methods, depending on the acquisition.</p>	Agency8 - Agency mission tends to require very specialized purchases.

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
Receive bids or quotes	WPM 6.1.b or WPM 6.1.a for quotes	<ul style="list-style-type: none"> 357 Requester receives bids 2345678 PO or CO receives bids Legal receives bids 7 Self service solicitation/bidding process <u>Signatures accepted:</u> <ul style="list-style-type: none"> 12357 Email without original signature accepted 234678 Original signature required (fax ok at lottery) Digital signature accepted 	Agency8 - PO is responsible for ensuring purchasing rules are followed, according to agency policy.
Evaluate bids or quotes	WPM 6.1.b or WPM 6.1.a for quotes	<u>Bid opening:</u> <ul style="list-style-type: none"> 467 Hold public bid opening 2378 Do not hold public bid opening <u>Who evaluates:</u> <ul style="list-style-type: none"> 7 Requester 24678 PO or CO 1 Both 347 Pre-established team <u>How are they evaluated:</u> <ul style="list-style-type: none"> 2678 Some or all bids are evaluated on cost only 13467 Most bids are evaluated on technical, responsibility and cost 	
Award	WPM 6.1.b or WPM 6.1.a for quotes	<u>Who awards:</u> <ul style="list-style-type: none"> 17 Approver 234678 PO(1) or CO Legal <u>Who is notified:</u> <ul style="list-style-type: none"> Public 1234678 All bidders 7 Winning bidder 	Agency8 - PO is responsible for ensuring purchasing rules are followed, according to agency policy.

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
		<u>How are they notified:</u> <ul style="list-style-type: none"> 1234678 Email 4 Fax 13467 Letter 248 Phone 	
Announce apparent successful bidder		<u>Agency2-Email, phone, purchase order faxed to vendor</u> <u>Agency7 - WEBS</u>	
Process protests	WPM 6.4 (236-48-141 142 143 WAC)	<ul style="list-style-type: none"> Go directly to legal 234678 Processed by PO or CO first 	
Prepare purchase order/Field Order	<p>Purchase Order: A required use form to formalize a purchase transaction with a vendor. Acceptance of the purchase order by the vendor constitutes a contract.</p> <p>Agency7 - Please Note Field Order should only be used for purchase against some GA contracts.</p> <p>Field Order: Used by agencies as a local purchase order form to order, encumber, liquidate, and authorize payment for local purchases. This form is used when an agency has delegated purchase authority to make a purchase or when the good or service is purchased off a state Contract.</p>	<u>Who prepares:</u> <ul style="list-style-type: none"> 148 PO Fiscal Services <u>How prepared:</u> <ul style="list-style-type: none"> 46 Copy similar example or last one from this vendor 12678 Automated system prepares PO <u>How transmitted:</u> <ul style="list-style-type: none"> 12478 Typically faxed 8 Sent electronically via email 	Agency8 - Agency policy. We have an Access database that helps prepare field orders.
Develop contract		<u>Who prepares:</u> <ul style="list-style-type: none"> 123467 CO 78 Legal 7 Vendor 	

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
		<u>Contract is included in RFP:</u> <ul style="list-style-type: none"> 37 In its entirety and exact form other than pricing and minor details 368 Only general terms and conditions are in RFP 1347 Detailed SOWs are included in the RFP and used in the contract 	
Determine / confirm funding sources		<u>When does this occur:</u> <ul style="list-style-type: none"> 124678 Part of the original request/approval (Agency3-CO) 3467 Prior to solicitation 7 After award 	Agency8 - Agency policy to ensure purchases can be paid for.
Determine acquisition account coding		<u>Who assigns:</u> <ul style="list-style-type: none"> 4678 Purchaser Procurement Office 467 Approving authority 237 Fiscal assigns all coding Fiscal never updates 8 If Fiscal updates, always notifies approving authority 1467 Fiscal verifies and updates 78 Fiscal always assigns sub-objects 678 Fiscal will only pay approved and fully coded invoices Other, please specify 7 Contracts Officer 7 Employee <u>Allocated invoices</u> <ul style="list-style-type: none"> Invoice is allocated before it comes to Fiscal Fiscal maintains spreadsheets 7 Multiple distribution Master Indexes are used Other, please specify 	Agency8 - Agency policy.
Record Encumbrance	Agencies encumber obligations or contracts with a material impact on	<u>Order encumbrance policy</u> <ul style="list-style-type: none"> All orders are encumbered 	Agency8 - Agency does not encumber.

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
	<p>their budget (SAAM 85.30.10b)</p> <p>All encumbrances are supported by complete documentation of the obligation (SAAM 85.30.10c)</p> <p>Encumbrances related to operating appropriations lapse at the end of the appropriation period.</p> <p>Encumbrances relating to capital appropriations lapse at the end of the biennium, unless reappropriated by the Legislature in the ensuing biennium (SAAM 85.30.10d)</p>	<ul style="list-style-type: none"> Orders over \$X are encumbered (please specify) 4 Orders are not encumbered 7 Policy varies by program/account coding Other, please specify <p><u>Other encumbrance policy</u></p> <ul style="list-style-type: none"> 4 Contracts are encumbered Subgrant agreements are encumbered 7 Policy varies by program/account coding 6 Other, please specify Agency6 (Contracts and agreements are encumbered upon request by program, for capital contracts only. No set policy in place.) 	
File Order		<p><u>Open orders are filed by:</u></p> <ul style="list-style-type: none"> 67 Procurement number 1278 Order number 47 Vendor name Vendor number 7 Both number and vendor, in separate files 2678 Can be accessed by either name or number in agency purchasing system Other, please specify 	Agency8 - Part of Access database.
Record Acceptance	Agencies verify that the goods and services received comply with the specifications indicated on the purchase documents. Authorized personnel receiving the goods and services are to indicate the actual quantities received prior to payment authorization (SAAM 85.32.20)	<p><u>Who does this:</u></p> <ul style="list-style-type: none"> 6 Items go directly to requester who receives 12 Items come to central receiving point where they are received 23478 Delivery point and receiver varies based on type of acquisition 	Agency8 - If feasible, delivered to a central location. If not, delivered to regional offices or warehouse.
File Notification of Acceptance		<p><u>Receipt evidence waiting for invoices are filed:</u></p> <ul style="list-style-type: none"> 468 With their order 12 By order number 7 By vendor name Both number and vendor, in separate files 	Agency8 - Standard method of handling paper files.

Process Steps	Assumptions on Common Processes	Sample Agency Variations	Reason for Agency Practice (Special laws or WACS that require this variation)
		<ul style="list-style-type: none"> 7 Can be accessed by either name or number in agency purchasing system <p>Other, please specify</p>	
Update Contract / Purchase Order Balance		<p><u>Who is responsible for making sure contract / purchase order is not overspent</u></p> <ul style="list-style-type: none"> 123468 Program manager Contracts Office 1346 Fiscal 6 Agency system tracks balances/payments 6 Fiscal double-checks Other, please specify 7 Employee 	Agency8 - By policy, PM is responsible for his/her budget
Return and follow up on unacceptable items	Return process varies according to the type of contract.	<ul style="list-style-type: none"> 1 Agency1-PO Agency2-Receiver and PO process Agency8 - Generally done by PO 	Agency8 - PO is responsible for managing vendor relations, and is aware of purchasing rules and business practices.
Update consumable inventory	Maintaining consumable inventory will vary broadly depending on agency systems and warehouse capabilities.	<p>7 Agency7 - <u>We have warehouse capability and it is automated.</u></p> <p>8 Agency8 – PO manages spreadsheet system</p>	Agency8 - This is an efficient method for entering inventory shortages and quickly reordering